

# **OFFICE OF DEFENSE NUCLEAR NONPROLIFERATION**

## **Foreign Travel Procedure**

*AUGUST 21, 2000*

## **OFFICE OF DEFENSE NUCLEAR NONPROLIFERATION FOREIGN TRAVEL PROCEDURE**

**August 21, 2000**

**SUBJECT: OFFICE OF DEFENSE NUCLEAR NONPROLIFERATION FOREIGN  
TRAVEL PROCEDURES**

### **1. OBJECTIVES**

To provide official foreign travel implementation guidance for (1) federal employees, including employees from Headquarters and Operations Offices; and (2) all management and operating integrated contractor employees. This document serves to implement policies and procedure for Office of Defense Nuclear Nonproliferation (NN) as described in Department of Energy (DOE) Order 551. , “ Official Foreign Travel”.

### **2. RESPONSIBILITIES**

#### **Foreign Travel Board**

DOE’s Office of the Chief Financial Officer has established a Foreign Travel Board. This Board will conduct quarterly meetings to review all official foreign travel taken by federal and contractor employees.

#### **NN Foreign Travel Coordinator**

A foreign travel coordinator for NN programs will be established to assume the lead for activities involving foreign travel issues. This coordinator will be responsible for interpreting and implementing foreign travel guidelines for all NN programs.

#### **Program Office Foreign Travel Representatives**

Each NN program office will identify a single point of contact for foreign travel- related issues. Foreign Travel Representatives will work with the NN Foreign Travel Coordinator to ensure that all federal and contractor travel, affecting their respective offices, is managed appropriately and consistently (refer to Example A - NN Program Office List of Foreign Travel Representatives).

#### **Headquarters Foreign Travel Organizational Points of Contact for Foreign Travel Management System (FTMS) (HQ OPOC)**

The HQ OPOC is responsible for entering 1512 forms for HQ personnel. The HQ OPOC will

print a hard copy of the 1512 entered by field/laboratory personnel for approval. HQ OPOC will ensure proper routing and compliance of DOE orders and guidelines addressed in this procedure.

### **Contractor or Field Foreign Travel Organizational Points of Contact for FTMS (OPOC)**

The contractor or field foreign travel OPOC is responsible for ensuring that all NN-sponsored official travel is processed according to the DOE order and NN guidelines.

## **3. REQUIREMENTS**

### **DOE 1512 form, Request for Official Foreign Travel**

**Foreign Travel Management System (FTMS):** The traveler is responsible for providing the completed DOE 1512 form "Request for Approval of Foreign Travel," to the appropriate OPOC for entry into FTMS. Please include on the 1512 form, the HQ point of contact and routing symbol.

A 1512 form is required for all federal employees, contractors, and subcontractors traveling from the United States to a foreign country and returning, within a foreign country or traveling between foreign countries on official business (whether wholly or partly funded by DOE). This includes travel funded by non-DOE sources, travel for which the traveler is representing the Department or conducting business on behalf of the U. S. Government, or travel by a DOE federal employee or contractor for another government agency or industry/company within the private sector.

All requests for foreign travel to a sensitive country or travel involving a sensitive topic must be entered into FTMS no later than 30 days before the proposed departure date.

All requests for foreign travel to a non-sensitive country and involving a non-sensitive topic must be entered into FTMS no later than 21 days before the proposed departure date. (Currently, the FTMS system will code the trip as an exception if submitted in less than the 30-days required but more than the 21-days required for non-sensitive trips. Please include a notation stating that the trip did meet the 21-day submission requirement, these trips will not require an exception waiver.

The DOE Order 551.1 states that all official foreign travel must be entered into and routed through into FTMS for approval no later than 21/30 days prior to departure. Requests submitted after the 21/30 deadlines will be considered exceptions. An Exception Travel waiver (refer to Example B) must accompany exception 1512 requests. Please note that the Foreign Travel Board will review all exception travel, and the Assistant Secretary may be asked to defend each exception request.

After a trip is ready for Headquarters' action, the HQ Program Office Foreign Travel representatives will route a hard copy of the 1512 for review and approval. Final approval will not be given until country clearance has been granted, if required.

## **4. DEFINITIONS (Applicability: all federal, contractor, and subcontractor foreign travel.)**

### **Exception Travel**

Within this document, exception travel is defined as follows:

(1) Travel to a sensitive country and/or travel involving sensitive topic that is entered into the FTMS with less than 30 calendar days prior to departure.

(2) Travel to a non-sensitive country and/or travel involving non-sensitive topics that is entered into FTMS with less than 21 calendar days prior to departure.

Exception travel requires a written waiver to be submitted by the Program Office funding the trip and submitted for approval by the Secretary. These waivers will be reviewed by the Acting Deputy Administrator or Assistant Deputy Administrator for Defense Nuclear Nonproliferation or designee of their choice (refer to Example B-Exception Travel Waiver). Waivers will be processed through the programmatic approving officials, it is their responsibility to submit these requests.

### **Revisions to 1512 Forms**

If the 1512 has final approval, it cannot be revised in the current FTMS system. Therefore, a new 1512, with reference to the previous FTMS trip number, should be completed. The previous 1512 is withdrawn and archived only after the new 1512 has been approved.

If a 1512 has not been fully approved, FTMS permits changes to be made and may require new approvals.

### **Major Revisions**

Currently, FTMS automatically defines several changes as major revisions (e.g., changes to conference codes, addition or deletion of one or more countries, or changes from non-sensitive to sensitive travel). These changes automatically delete all approvals in FTMS.

A notation should be made in FTMS, explaining the reason for the revision.

FTMS will also prompt the OPOC to determine if certain other changes are major revisions. Major revisions are substantial changes to the 1512 that occur before or after final approval. These revisions will be processed for approval. Other revisions requiring a revised 1512 include:

1. An addition of at least one city that is not a required stopover or directly related to the previously submitted itinerary (e.g., post-conference tour, location change).
2. An addition of leave, personal, or vacation time.

### **Minor Revisions**

Other changes may be considered minor revisions. Minor revisions are an insubstantial changes to the 1512 that require to be processed for approval providing that there is sufficient time. A minor revision will not delete any approvals in FTMS. If the minor revision occurs after the 1512 has been fully approved, a notation should be included in the trip report and comments in the archive trip report section in FTMS. Minor revisions includes:

- (a) The deletion of one or more city from the itinerary;
- (b) Addition of a city because of unexpected stopover due to flight schedules.

If the revised 1512 met the 21/30 days lead time on the original submission of the form, revisions will not be considered exception travel.

### **Alternate Travelers**

If a traveler is required to cancel a trip, an alternate may be submitted in his/her place. A separate 1512 form is required for alternate travelers and must be routed through the approval process. These requests are submitted because of the cancellation of a primary team member. A note should be included on the 1512, explaining the reason an alternate is being submitted.

**Note:** The current FTMS system reflects every trip as an exception if it is entered with less than 30 calendar days prior to departure. The new system, which is to be available for use in early 2001, will correct this inconsistency. (For non-sensitive trips submitted 21 days in advance of departure date, a notation should be made in FTMS, stating that the trip did meet the 21-day submission requirement and an exception waiver will not be required.)

### **POTAS-Funded Trip**

A 1512 form is required for trips funded by the United States Program of Technical Assistance to International Atomic Energy Safeguards (POTAS) program. These requests are to be submitted in FTMS and approved by NN International Safeguards Division.

### **Work For Others Wholly Funded Trips**

NN delegates the approval authority to the DOE Field Offices for Work for Others travel that is wholly funded by a non-DOE source, including the private sector.

### **Foreign Nationals Traveling to the United States (U. S. )**

Foreign Nationals visiting the U. S. will not be entered into FTMS. These trips will be entered into the FACTS System, as required by DOE Order P 142.1, "Unclassified Foreign Visits and Assignments."

### **Foreign Nationals Traveling to Another Foreign Country (excluding the U. S.):**

Foreign Nationals traveling to Another Foreign Country (excluding the U. S. ) will be required to submit a 1512.

***Pending NN waiver request with Secretary.***

## **COUNTRY CLEARANCE CABLES**

### **Federal Employees**

The DOE Order 551.1 states that federal employees are required to request country clearance through the U. S. embassies and consulates in foreign countries for all travel (sensitive and non-sensitive countries).

### **Contractor Employees**

Country clearances are required for contractor travel to all sensitive countries, and a grant must

be given prior to trip departure. Country clearance for Contractor travel to non-sensitive countries is not required unless the traveler is meeting with senior-level government officials or requiring embassy assistance. There may be exceptions to this rule, e.g., a courtesy cable is required whenever IAEA business is being conducted. The HQ OPOC will receive guidance regarding the requirements of non-sensitive countries.

### **Travel to the Russian Federation**

On April 17, 2000, DOE-Moscow issued guidelines for processing country clearance cables and letters of invitation for entry into Russia (refer to Example C- DOE-Moscow Guidelines for Country Clearances and Letters of Invitation).

The processing times required by DOE-Moscow for country clearance cables are:

- (1) Travel within the Moscow Consular District with no embassy assistance requested, requires a minimum of 5 working days.
- (2) Travel to Moscow requiring embassy support or travel outside the Moscow consular zone, requires 10 working days for processing.

Please refer to DOE-Moscow Guidelines for more specific instructions. A list of the Russian facilities and their consulate regions, is attached (refer to Example D- Consular Regions).

Country clearance cables may be developed by the Program Office foreign travel representatives or by the laboratories, as determined by the program offices. Currently, there are three separate processes for NN country clearance cables. Please verify with the Program Office foreign travel representative the process that pertains to the particular program funding the trip. The three submission processes for cables are:

(1) **MPC&A Program Database:** The MPC&A Program has an electronic travel database on the MPC&A Home Page. The country clearance request is submitted by the field for HQ approval and is then forwarded to Department of State by courier for transmission to the Embassy. A copy of the DOE-Moscow Guidelines for Country Clearance Cables and Letters of Invitation is listed under "Guidance Documents" on the MPC&A home page.

(2) **E-mail:** Country clearance cable requests are submitted to the Program Office Foreign Travel Representative. This request is printed and routed in hard-copy form at HQ for HQ approval and forwarded to Department of State for transmission to the Embassy.

(3) **HQ creating cable:** If the request cable is to be drafted by the Program Office foreign travel representative, necessary information should be submitted to the sponsoring program office. Input for developing country clearance cable request must be submitted early for a cable to be submitted and approved by HQ. Information needed to complete the cable preparation follows:

1. Dates for departure and return;
2. City, facility, and dates for each site visit (indicate if closed city access is requested);
3. Host name and daytime phone/fax numbers;

4. Evening point of contact phone/fax numbers;
  5. Purpose of visit at each facility;
  6. Notation if embassy assistance is required;
  7. Each team member's full name and affiliation/employer;
  8. Each team member's date of birth;
  9. Each team member's place of birth;
- (10) Each team member's passport number and expiration date; and
- (11) Each team member's security clearance level (None, Secret, Top Secret).

Each Program Office will be responsible for obtaining the approval of the Department of State clearing and approving officials. Upon receipt of this approval, the draft cable will be forwarded to the HQ OPOCs for formal submittal to Department of State. This should be completed no later than 14 working days prior to departure. HQ OPOCs will receive clearance approval grant from State. The 1512 form will then be routed for final sign off, and approvals are entered into FTMS. The HQ OPOC will maintain a hard copy file of all country clearance cables and approved 1512s for 2 years.

For travel to sensitive countries, final trip approval cannot be entered into FTMS until country clearance is confirmed.

### **LETTERS OF INVITATION**

Travel to a sensitive country requires a letter of invitation from the facility/government to be visited to obtain a visa for entry into that country.

#### **Minatom Facilities – Russian Federation**

Minatom Facilities require a dual tracking process for letters of invitation. The original request for a letter of invitation is forwarded to the facility being visited. A hard copy of the request is faxed to the NN Program Office Foreign Travel Representative. A DOE cover letter will be signed and attached to the letters of invitation request. These letters and a copy of the traveler's passports are faxed to DOE-Moscow and forwarded by DOE-Moscow to Minatom for approval. The return letters, granting or denying the trip, will be returned to the originating office.

#### **Deadline Requirements for Letters of Invitation to Minatom Facilities**

1. For travel to Moscow or any other open city, Minatom requires 10 working days.
2. For travel to any closed city, Minatom requires 45 calendar days.

Please refer to the DOE-Moscow Guidelines for more specific instructions. The Minatom Facilities List indicates if cities are open or closed (refer to Example E- Minatom Facilities, Open and Closed Cities).

## **SECURITY/COUNTER-INTELLIGENCE BRIEFINGS**

All federal travelers will receive a security briefing when traveling to non-sensitive and sensitive countries. Contractor travelers are required only to receive a security briefing when traveling to sensitive countries. Personnel are responsible for arranging these briefings through their appropriate security office. Please note that the DOE Security Office is permitted to waive this requirement for personnel that travel to the same country repeatedly, but periodic updates are required. Contact appropriate Security/Counter-Intelligence Office for verification of briefing requirements.

## **TRIP REPORTS**

Upon return from a foreign travel, the traveler is required to submit a trip report to DOE within 30 days. The trip report consists of two parts, as described in the DOE Order 551.1. One trip report can be filed for a delegation, but it must include all of the information requested in Part I for each traveler, as well as actual travel costs for each delegation member. The actual travel costs should be shown in comments when the trip report has been archived in FTMS. The NN foreign travel coordinator periodically will review FTMS to ensure that all post-trip processing has been entered in the system. Part I of the trip report should be sent directly to the Office of Science and Technical Information (OSTI), Oak Ridge, Tennessee, 37831. Part II is not to be distributed to OSTI. Parts I and II of the trip report are to be distributed to the Local Travel Office and to the HQ Program Office foreign travel representative.

Actual trip cost will include per diem (meals, lodging, and miscellaneous expenses), transportation (including in-country), and other travel expenses related to the trip. Do not include contractor overhead costs.

Prior to distribution of trip reports, contractor and federal travelers must ensure that the reports do not contain classified or sensitive unclassified information. Program officials are required to hold trip reports for at least 6 months.

## **MAJOR FOREIGN CONFERENCE TRAVEL**

The Head of Organization element hosting the conference must approve sponsorship, co-sponsorship, or funding of any conference if 30 or more federal and contractor employees are expected to attend the conference on official travel.

## **MISCELLANEOUS GUIDANCE**

NN will approve coach class airfares. Travelers may use frequent flyer mileage to upgrade seating. Business class requests will be reviewed on a case-by-case basis but will be heavily scrutinized. Authorization of business class or upgrades must comply with requirements stated in the Federal Travel Regulations.

# **NN PROGRAM FOREIGN TRAVEL**

## **EXAMPLES \***

### **NN-EXAMPLE A -**

*NN Program Office List of Foreign Travel Representatives*

**NN-EXAMPLE B -**

*Exception Travel Waiver*

**NN-EXAMPLE C -**

*DOE Moscow Guidelines for Clearance Cables and Letters of Invitation*

**NN-EXAMPLE D -**

*Consular Regions*

**NN-EXAMPLE E -**

*Minatom Facilities- Open & Closed Cities*

***\* Examples are not included in this document. Please contact NN HQ Foreign Travel OPOC for the Foreign Travel Attachment Document.***